

California Department of Corrections and Rehabilitation

SUCCESSION MANAGEMENT PROGRAM UNIT



DIVISION OF ADULT INSTITUTIONS WORKFORCE ENVIRONMENTAL SCAN

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Environmental Scan 2017
California Department of Corrections and Rehabilitation
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Environmental Scan and Gap Analysis – Division of Adult Institutions Executive Summary July 2017

The California Department of Corrections and Rehabilitation's (CDCR) Succession Management Program (SMP) is being developed to address the various reports that convey CDCR's deficiencies in providing updates on succession management strategies. Initial efforts in building the SMP have been to conduct an environmental scan of CDCR to generate a gap analysis; findings include internal and external factors that may have an influence on the current and future workforce within the Division of Adult Institutions.

Workforce Profile

Currently, 55% of CDCR's total workforce is eligible for retirement in the next five years, with 24% eligible to retire now. The most crucial functions needed to be retained are the management of incarcerated and paroled offenders, efficient operation of correctional facilities, and effective supervision of employees. A deterrent to recruitment and promotional interest is that there have been several high profile cases of interaction between citizens and law enforcement that have had a negative impact across all law enforcement agencies nationally. Factors that may influence the number of employees required for the Department is the projected number of incarcerated and paroled offenders and legislative changes that impact population and business needs.

This Gap Analysis conveys

- The critical positions and their crucial functions.
- The Department is inadequately prepared to fill senior-level positions currently held by staff members who are eligible or nearly eligible for retirement.
- Bench strength in secondary level positions is weak, as those normally in line for promotion are eligible for retirement as well.

Next Steps

CDCR's ability to meet its mission critical objectives will be compromised without the preparation of potential successors to fill the positions that are at high risk of retirement. The SMP is currently being developed to support this effort by establishing a pipeline of current employees who will be competitive for executive leadership appointments as current leaders retire or leave by other ways of attrition. The objective of the succession strategy is to make sure CDCR has one or more qualified internal candidates prepared to assume each key leadership position at all times.

Environmental Scan 2017

Prepared by the Succession Management
Program Unit

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Overview

The California Department of Corrections and Rehabilitation (CDCR) is primarily responsible for adult and juvenile offenders assigned to state supervision. Such supervision is provided through the operation of state prisons, facilities, and the Division of Adult Parole Operations.

History and Mission

The first California prison opened at San Quentin in 1852 with 68 incarcerated offenders. As of April 2017, CDCR was responsible for supervising 118,384 incarcerated offenders housed in 90 facilities located throughout the state. The 90 facilities operated by CDCR include 35 adult facilities, seven adult community correctional facilities, 44 conservation (fire) camps, and three juvenile facilities. CDCR also maintains parole functions throughout California, and is responsible for supervising 49,393 offenders released from prison to parole supervision. CDCR headquarters is located in Sacramento, California.

We enhance public safety through safe and secure incarceration of offenders, effective parole supervision, and rehabilitative strategies to successfully reintegrate offenders into our communities.

The mission is carried out through its values:

- Service: We serve and are responsible to the public. We value their trust and invite their involvement.
- Leadership: We serve as positive role models and foster an environment that supports a balance between professional development, professional job performance, and personal wellness.
- Integrity: We conduct ourselves professionally through fair, honest, and ethical behavior. We have the courage to do what is right, even in the face of adversity.
- Accountability: We accept responsibility for our actions and decisions as well as their consequences.
- Respect: We respect each other's differences and treat others with courtesy, dignity, and consideration.
- Trust: We are people of character. We keep our word and honor our commitments.
- Collaboration: We work with our stakeholders as partners to support mutual understanding of ideas and open exploration of our differences.

Structure

The objectives of CDCR are administered under the oversight of Secretary Scott Kernan; Undersecretaries Ralph Diaz, Kenneth Pogue, and Diana Toche; and Directors Kathleen Allison, Bryan Beyer, Brantley Choate (A), Deborah Hysen, Anthony Lucero, Jerry Powers, and Alene Shimazu.

Organizational Goals, Objectives, and Strategies

- Workforce Excellence: Ensure a well-trained, quality workforce.

- Technology: Develop an information technology strategy and implement systems capable of managing both current needs and anticipated growth.
- Risk Management/Organizational Effectiveness: Achieve organizational excellence in our operations and systems.
- Legal Compliance: Develop preventive strategies to preclude class action suits and remedy identified violations.

This Environmental Scan will focus on the first Organizational Goal, Workforce Excellence.

In May 2007, the State Auditor issued a report highlighting CDCR's deficiencies in providing updates on workforce planning and succession management strategies. In 2012, the CDCR plan, "The Future of California Corrections: A blueprint to save billions of dollars, end federal court oversight and improve the prison system" (Blue Print), identified as a workforce challenge, the high percentage of employees nearing retirement. The Blue Print and "An Update to the Future of California Corrections" in 2016 directed that in order to address the workforce challenge and maintain leadership continuity, it is imperative that a successful Succession Management Program be implemented.

National Demographics and Social Trends

The statistics below from the United States (U.S.) Census Bureau, Brookings Institution, the Pew Research Center and the Bureau of Labor Statistics (BLS) highlight some of the changes in demographic makeup and trends in the U.S.

- Millennials have become the nation's largest living generation, surpassing baby boomers.
- American workers are moving around the labor market less.
- 21% of Americans go online almost constantly.
- One-fifth of workers will need to provide eldercare to loved ones, impacting work schedules, job performance, and relocation opportunities.
- 73% of workers don't have a problem looking for new employment before leaving their current employment.
- The U.S Census Bureau reports that the 2015 median household income was \$55,775, 3.8% higher than in 2014.
- The BLS report from January 2017 reflects that the current unemployment rate is 4.7%, the lowest since the economic crisis which began in 2008.

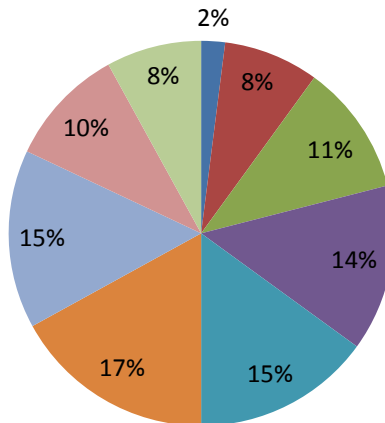
Internal Factors Profile (Supply Analysis)

The Workforce

CDCR's April 2017 workforce consists of 60,758 employees (excluding California Correctional Health Care Services and Prison Industry Authority).

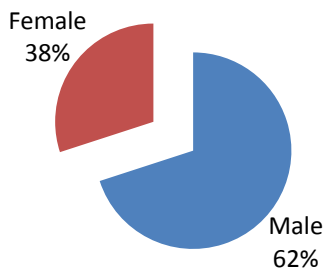
CDCR Workforce by Age

■ <24 ■ 25-29 ■ 30-34 ■ 35-39 ■ 40-44 ■ 45-49 ■ 50-54 ■ 55-59 ■ 60>



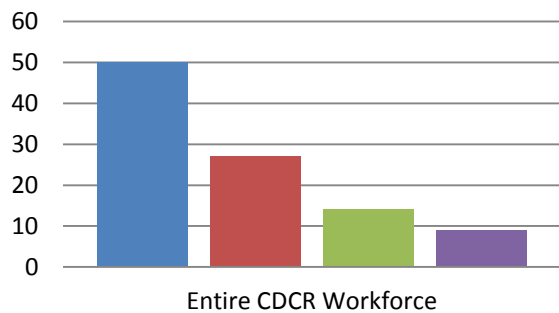
Compiled by CDCR's Human Resources Administrative Unit Report: April 2017

Gender all CDCR



Compiled by CDCR's Human Resources Administrative Unit Report: April 2017

Ethnicity*



■ White ■ Hispanic ■ African American ■ Other

*Based on self-reported data compiled by CDCR's Human Resources Administrative Unit Report: "Appointments and Perm Seps", 04/25/2017.

Climate Assessment

The Succession Management Program Survey (Phase I) was created as a result of the SMP's development activities. The results of this survey provided baseline data on peace officer leadership's views of the need for succession planning and their willingness to work on the issue.

The results below are from the July 2016 Phase I survey.

Topic	Result
Succession Management Status	84% indicated there is no succession plan or information is unknown 90% indicated the importance of developing a succession plan
Goal Retirement Date	49% identified a goal retirement date 31% indicated they did not have a goal retirement date 6% indicated within 1 year retirement 21% indicated within 2-3 years retirement
Recommended Solutions to Affect Retirement	55% indicated improved promotional incentives would affect retirement (base pay increase, longevity pay (42%), education pay and enhanced benefits) 29% stated the State/CDCR needed to address salary compaction between classes
Promotional Interest	76% will seek promotional opportunities in 2-5 years 37% are interested in promoting to Correctional Administrator/ Associate Warden 25% interested in promoting to Chief Deputy Warden 21% interested in promoting to Warden
Promotional Challenges	42% believe there is a lack of promotional incentives 34% believe the issue is salary compaction
Relocation for promotion	68% willing to relocate within region 44% not willing to relocate outside of region 56% might or would be willing to relocate outside of region
Career Self-Development Opportunities	89% interest
Developing Others/Subordinates	91% willing to prepare their subordinates for promotional opportunities (allowing job shadowing, developing training plans, etc.)
Interest in Succeeding	74% indicated that their subordinates were either very interested or interested in succeeding them

Environmental Challenges

Environmental factors will have a significant impact on CDCR's workforce and should be addressed through specific strategies. Identified factors are:

- **Constraints on Competitiveness** – Competing demands for public resources have limited CDCR's ability to compete with salaries in the private sector, federal and county governments, and to attract and retain specialized personnel in leadership levels.

- **Legal Environment** – Several high profile cases of interaction between citizens and law enforcement has had a negative impact affecting potential recruitment at all levels and within all law enforcement agencies, including CDCR.
- **Population Growth** – California’s population grew at a rate of 0.7% in 2016. While still positive, this continues a downward trend in growth rate from the prior year. While growth has slowed thus reducing the total number in the future labor pools, the number of inmates supervised in secure settings is forecasted to increase by nearly 3% over the next 3 years.
- **Retirement** – As of April 2017, 58% of CDCR’s workforce is eligible for retirement in the next five years, with 24% currently eligible. This factor, in addition to attrition rate, can have a significant impact on CDCR’s ability to complete stated objectives.

Competencies

The competencies that CDCR views as critical for leadership level positions include:

- | | |
|------------------------|---------------------------------|
| • Adaptability | • Collaboration |
| • Communication | • Customer Engagement |
| • Digital Fluency | • Ethics and Integrity |
| • Fostering Diversity | • Innovative Mindset |
| • Interpersonal Skills | • Resilience |
| • Business Acumen | • Inspirational Leadership |
| • Results-Driven | • Stewardship |
| • Talent Management | • Vision and Strategic Thinking |

Additional position specific technical competencies are also required and can be learned through other employment-related experiences or education. The application of some of these skills in a correctional environment, when job duties include extensive interactions with offenders, is a unique experience. Therefore, a basic requirement for institutional employees is participation in CDCR’s annual in-service training programs to ensure that they receive the information and skills necessary to perform their duties safely and effectively.

Identifying Critical Needs and Functions

Employees who possess both valuable and unique skills are critical knowledge employees. The intellectual capital and organizational memory of CDCR resides predominantly in these critical roles. CDCR must identify critical positions in the context of many factors, including market conditions and organizational strategy. Additional criteria to consider are:

- Replacement difficulty and time - taking into account the availability of people in the labor market for this kind of position, the specialized knowledge and experience involved and the amount of time required to get up to speed in the role.
- Impact - the consequences of losing the incumbent on meeting the organization's missions.

CDCR is committed to ensuring successors are identified for critical positions while simultaneously building broader talent pools to pull from for other positions as they evolve or become vacant.

According to April 2017 data, CDCR uses 556 different job classifications within the State Classification System. Although there are several varied functions performed by these job classifications that are critical to achieving the agency's mission, the following functions are the most crucial because: (1) these functions help the agency ensure public safety; (2) these functions are vital to the success of the majority of other mission-critical functions; and (3) the agency's overall success in achieving its mission is dependent upon its employees.

- Management of incarcerated and paroled offenders.
- Efficient operation of correctional facilities.
- Effective supervision of employees.

Data Analysis Challenges

The ability to determine probable retirements may be challenging as employees are not required to report retirement intentions. As a result, the methodology to predict potential retirements will take the following factors into consideration:

- (1) Less than 24 months of State service, but are already past the typical retirement age (55 and older, 50 for Peace Officer and Firefighter (POFF) classifications).
- (2) Past the typical retirement age (55 and older, 50 for POFF).

Other challenges include:

- Size of CDCR's workforce.
- Lengthy delays in obtaining data from some sources.
- Diversity of occupational categories and job locations.
- Various retirement categories applicable to the workforce (ie. enhanced safety retirement, regular safety retirement and miscellaneous).

Data for this portion of the Environmental Scan will be limited to Executive Leadership positions within the Division of Adult Institutions (DAI) as this is a critical function area and will serve as a pilot group for the Succession Management Program (SMP).

Retirement Eligibility

CDCR's internal records reflect that the following job groups contain a population in which an average of 78% are eligible for retirement in the next five years:

- Director
- Deputy Director
- Associate Director
- Assistant Deputy Director
- Warden
- Chief Deputy Warden
- Correctional Administrator/ Associate Warden

Title	Positions Allocated	Positions Vacant and % (Current)	Average months vacant (last 2 years)	Retirement Eligible and % <5 years	Total Projected Need %
Director	1	0 0%	*	1 100%	100%
Deputy Director	2	0 0%	*	2 100%	100%
Associate Director	4	0 0%	*	3 75%	75%
Assistant Deputy Director	2	1 50%	5.0	0 0%	50%
Warden	35	4 11%	7.5	28 80%	91%
Chief Deputy Warden	40	5 13%	3.8	26 65%	78%
Correctional Administrator/ Associate Warden	189	31 16%	10.7	154 81%	98%

*Vacancy information not available for these classifications. Data as of June 2017.

The following table reflects combined authorized Executive Leadership position data from April 2017 sorted by Institution.

DAI HQ & Institutions	Total Anticipated Need – Retirement (As of April 2017)			Total Need- Other (Unfilled)		Total Projected Need by Institution
	Authorized Positions	Eligible to Retire <5 years	Retirement %	Vacancies	Vacancy %	
Avenal State Prison (ASP)	3	3	100.0%	0	0.0%	100%
California City Correctional Facility (CAC)	5	3	60.0%	1	20.0%	80%
California Correctional Center (CCC)	6	3	50.0%	2	33.3%	83%
California Correctional Institution (CCI)	9	4	44.4%	2	22.2%	67%
California Health Care Facility (CHCF)	6	6	100.0%	0	0.0%	100%
California Institution for Men (CIM)	8	7	87.5%	0	0.0%	88%
California Institution for Women (CIW)	6	3	50.0%	3	50.0%	100%
California Medical Facility (CMF)	7	4	57.1%	1	14.3%	71%
California Men's Colony (CMC)	7	6	85.7%	0	0.0%	86%
California Rehabilitation Center (CRC)	5	4	80.0%	1	20.0%	100%
California State Prison Corcoran (COR)	10	5	50.0%	3	30.0%	80%
California State Prison Los Angeles (LAC)	7	7	100.0%	0	0.0%	100%
California State Prison Sacramento (SAC)	7	6	85.7%	0	0.0%	86%
California State Prison Solano (SOL)	7	6	85.7%	0	0.0%	86%
Calipatria State Prison (CAL)	6	6	100.0%	0	0.0%	100%
Centinela State Prison (CEN)	5	5	100.0%	0	0.0%	100%
Central California Women's Facility (CCWF)	7	3	42.9%	1	14.3%	57%
Chuckawalla Valley State Prison (CVSP)	6	4	66.7%	1	16.7%	83%
Correctional Training Facility (CTF)	6	4	66.7%	2	33.3%	100%
Deuel Vocational Institution (DVI)	7	4	57.1%	2	28.6%	86%
Division of Adult Institutions (DAI **HQ)	22	14	63.6%	4	18.2%	82%

DAI HQ & Institutions	Total Anticipated Need – Retirement (As of April 2017)			Total Need- Other (Unfilled)		Total Projected Need by Institution
	Authorized Positions	Eligible to Retire <5 years	Retirement %	Vacancies	Vacancy %	
Folsom State Prison (FOL)	7	5	71.4%	0	0.0%	71%
High Desert State Prison (HDSP)	7	0	0.0%	7	100.0%	100%
Ironwood State Prison (ISP)	5	4	80.0%	1	20.0%	100%
Kern Valley State Prison (KVSP)	9	7	77.8%	1	11.1%	89%
Mule Creek State Prison (MCSP)	8	5	62.5%	2	25.0%	88%
North Kern State Prison (NKSP)	8	6	75.0%	0	0.0%	75%
Pelican Bay State Prison (PBSP)	7	7	100.0%	0	0.0%	100%
Pleasant Valley State Prison (PVSP)	6	5	83.3%	0	0.0%	83%
RJ Donovan Correctional Facility (RJ Donovan)	8	6	75.0%	1	12.5%	88%
Salinas Valley State Prison (SVSP)	8	8	100.0%	0	0.0%	100%
San Quentin State Prison (SQ)	8	6	75.0%	1	12.5%	88%
Sierra Conservation Center (SCC)	6	5	83.3%	1	16.7%	100%
Substance Abuse Treatment Facility (SATF)	9	6	66.7%	0	0.0%	67%
Valley State Prison for Women (VSPW)	6	4	66.7%	0	0.0%	67%
Wasco State Prison (WASCO)	8	5	62.5%	1	12.5%	75%

Future Workforce Profile (Demand Analysis)

Expected Changes

Restructuring and reorganization may become necessary based on continued evaluations and periodic review of the workforce taking into consideration the following factors:

- Increased use of new technology and electronic systems
- Reassignment of job duties due to automation
- Increased cultural diversity based on projections relating to the state's population and agency
- Leadership prioritization for a diversified workforce
- Budgetary constraints
- Political climate changes
- Inmate/Parolee populations
- Inmate classification system changes

Anticipated Increase/Decrease in Required Number of Employees

At this time, CDCR does not anticipate a significant change in the required number of employees. Some factors that would impact the number of employees needed include the projected number of incarcerated and paroled offenders, legislative changes, and any privatization of major agency operations.

Recruitment Efforts to Increase the Diversity of Workforce

CDCR maintains a high priority and commitment in promoting interest for filling open positions with diverse, qualified applicants. The FY 2015 statistical reports compiled pursuant to the BLS and the Equal Employment Opportunity Commission (EEOC) guidelines indicate the primary areas of underutilization involve the Hispanic population in California. This is not representative of CDCR's diversity makeup.

CDCR, and all California State Agencies consistently look at strategies to address the underutilization of all ethnicities. CDCR may consider developing various recruiting methods and initiatives to encourage and promote interest in employment within the community, such as, but not limited to:

- Attending job fairs at colleges and trade schools in areas with a diverse population.
- Advertising job postings in professional and technical career websites.
- Mailing correspondence and recruitment material to various high schools, colleges, military installations, and cultural organizations.

Skills Needed

It is anticipated that CDCR will continue to need the critical skills previously identified in the Internal Factors section of this report. Furthermore, a greater emphasis may be placed on skills related to specialized programs within institutions and advanced information technology skills due to increased automation of operational processes.

In addition, the education required for the identified retirement risk classifications are subject to each specific job and the division's culture at the time of recruitment as referenced below. The requirements for Peace Officer positions include Basic Correctional Officer Academy or an approved Academy as described in Penal Code Section 832.

Hard to Recruit Areas

Additionally, several correctional facilities have historically faced additional recruitment challenges as they are traditionally considered "Hard to Recruit" institutions due to their locations and work environmental characteristics. At any given time, these Institutions may include, but are not limited to, Pelican Bay State Prison, High Desert State Prison, and the California Conservation Center.

Gap Analysis

This Gap Analysis will focus on those critical positions that perform the basic leadership functions required for the supervision of incarcerated offenders and the effective management of correctional facilities, identified as crucial functions.

Issue Description

CDCR is inadequately prepared to fill senior-level positions currently held by staff members who are eligible or nearly eligible for retirement. Bench strength in secondary level positions is weak, as many of those normally in line for promotion are also eligible for retirement.

The following critical positions have been identified as being the highest priority.

- Director
- Deputy Director
- Associate Director
- Assistant Deputy Director
- Warden
- Chief Deputy Warden
- Correctional Administrator/ Associate Warden

If the retirement vacuum issues with these positions are not addressed, CDCR management capabilities will be greatly affected by retirements in key leadership positions. Through years of experience in CDCR, individuals in these key positions gained insight about the unique responsibilities of detention and operations.

Anticipated Surplus or Shortage in Staffing Levels

Director

The only allocated Director position has already turned over within the last 24 months; however, the new Director has also been identified as retirement eligible within the next three years.

Deputy Director

The Deputy Director positions have a 100% need rating based on the number of retirement eligible positions within the next five years, and is an extremely high risk area critical to program function.

Associate Director

There are three Associate Directors eligible for retirement. Although the 75% need rating for this classification is not as high as other areas, there are no pipeline candidates that could be eligible in the short term, which creates a serious void and should be addressed as quickly as possible to ensure critical functions can be performed.

Assistant Deputy Director

There are two Assistant Deputy Director positions currently allocated, one of which is currently vacant.

Warden

Between April 2015 and April 2017, a total of 15 Wardens have retired from CDCR. Since there are already vacancies in this classification, the retirement projections push the urgency of need in this area to 91%, critical to the organization.

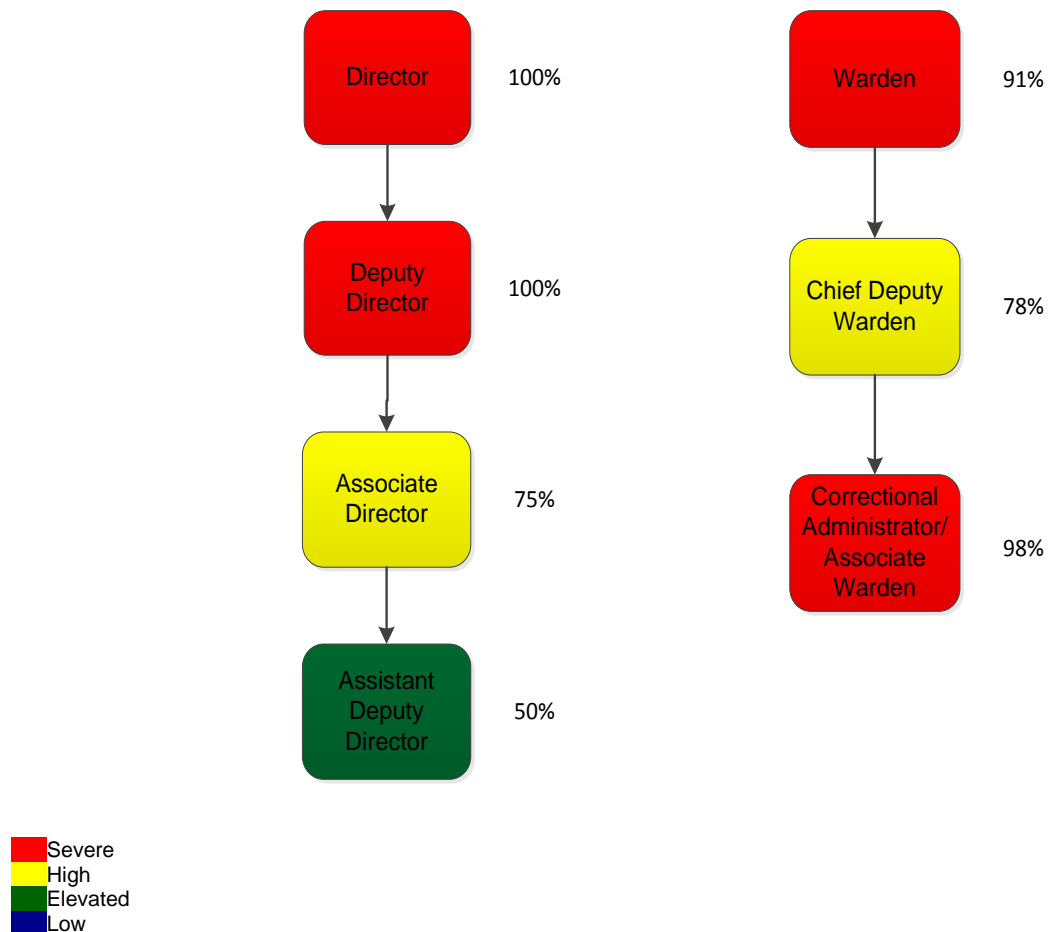
Chief Deputy Warden

A total of 10 Chief Deputy Wardens retired in the last 24 months. Even with these positions re-filled, a current assessment shows that an additional 26 of a total 40 are eligible for retirement within three years. This rate plus the vacant positions that need to be filled reflect a 78% need in this classification.

Correctional Administrator/ Associate Warden

Of the 189 positions, there have been 48 retirements at the Correctional Administrator/ Associate Warden level since 2015 with an additional 154 eligible to retire in the next five years. A 98% need is projected in this classification as it is, but the need further negatively impacts the ability of this classification level as bench strength to fill positions in the Chief Deputy Warden and Warden classifications.

Priority by Classification



Priority by Institution

Based on the available data, a number of specific institutions will be particularly hard hit should all of the eligible leadership retirements occur within the next five years. Those institutions are listed below based on a 100% need assessment.

- Avenal State Prison
- California Health Care Facility
- California Institution for Women
- California Rehabilitation Center
- California State Prison Los Angeles
- Calipatria State Prison
- Centinela State Prison
- Correctional Training Facility
- High Desert State Prison
- Ironwood State Prison
- Pelican Bay State Prison
- Salinas Valley State Prison
- Sierra Conservation Center

Considerations

1. This analysis focuses on retirement eligibility as the critical component of workforce reduction and does not take into consideration other forms of voluntary attrition or vacancies caused by lateral movements.
2. With the costs of recruitment on the rise and the desired qualification of institutional knowledge, internal promotion is becoming the preferred method for filling open positions. Due to the nature and specific technical skills sets of leadership in the correctional field, CDCR will need to prioritize succession planning tools to develop employees in feeder classifications for advancement.

Succession

The significant leadership turnover expected within the next few years underscored the gap in succession planning within CDCR. CDCR's supervisory, management, and leadership development programs will become a vital factor in the effort to reduce this gap. The programs help ensure CDCR leadership personnel have the skills and knowledge required to assume greater responsibilities when vacancies occur through normal attrition. Employee competition for promotion to higher level positions will require the need for higher level competencies which will become critical components in the selection process.

Gap Elimination Strategies

Education

While an educational component may be an eligibility requirement for some classifications, the necessity is not a part of most duty statements. Recruitment specifications are independent,

dictated by the culture and specific needs of individual institutions, and are typically based on work experience and job performance.

Examinations

Some leadership classifications require an examination to be considered for appointment. These exams are managed by the Executive Appointments Unit and may include the following classifications:

- Director
- Deputy Director
- Associate Director
- Warden
- Chief Deputy Warden
- CEA and Assistant Deputy Director Level B, CEA

The examination for Correctional Administrator/ Associate Warden is managed by the Office of Workforce Planning.

Additionally, hiring consideration for all of the above classifications may be subject to review by an Executive Screening Committee.

Training and Development

Continuous investment in training and development is essential for improving the performance of CDCR's workforce and enhancing the competencies of its future leaders. Training and development can be initiated for a variety of reasons for an employee or group of employees, including:

- When a performance appraisal indicates performance improvement is needed.
- To "benchmark" the status of improvement in a performance improvement effort.
- As part of succession planning to help an employee be eligible for a planned role change in the organization.
- To "pilot", or test, the operation of a new performance management system.
- To train about a specific topic.

There are numerous sources for information about training and development. Several of these sources suggest the following reasons for training:

- Increased job satisfaction and morale.
- Increased employee motivation.
- Increased efficiencies in processes, resulting in financial gain.
- Increased capacity to adopt new technologies and methods.
- Increased innovation in strategies and products.
- Increased retention.
- Risk management (e.g., training about sexual harassment, diversity training, etc.).

CDCR currently has extensive resources for training and development and is prepared to utilize those resources to appropriately train current staff and new hires to close competency gaps and further develop potential candidates for leadership opportunities.

Knowledge Transfer

The goal of knowledge transfer is to share valuable and useful information, within a meaningful context, so that it can be used when making decisions and taking action. The benefits of utilizing knowledge transfer to close competency gaps include:

- Accelerates development of new hires.
- Reduces impact of employee departures.
- Captures knowledge before it leaves ensuring business and service continuity.
- Reduces the risk of developing policies or making decisions in the absence of historical best practices, knowledge and experience.
- Reduces duplication of effort.
- Increases the chances that knowledge will be transferred/shared when knowledge transfer is integrated into employees' daily routines (i.e. work plans).

Some factors to consider for successful use of knowledge transfer assignments:

- The knowledge transfer has a specific value and supports Department objectives.
- An environment exists in which people are encouraged to share what they know.
- Those in leadership roles model the behavior they wish to see in the organization.
- Successes are celebrated to reinforce the process and motivate employees.
- Communication is effective and ongoing.
- There is a mutual readiness to listen and learn. It is essential that both the giver and receiver see the value that the exchange offers.
- The implementation of succession planning and performance management is supported and facilitated throughout the organization.
- The time to transfer knowledge is now, not when people are ready to walk out the door.
- Givers and receivers are involved in the selection of knowledge transfer tools (Understanding what knowledge needs to be transferred and how they would prefer to give and receive it is critical to gain participation in the process.).

Transfer of knowledge occurs in two ways:

- Explicit:
 - Knowledge which lends itself to transfer strategies such as formal desk manuals, procedures, and other codified processes.
- Tacit:
 - Intuitive, hard to define knowledge that is largely experience based, is often context dependent and personal in nature.

Because explicit knowledge is pre-set and very specific, CDCR will benefit the most by focusing on tacit knowledge to bridge competency gaps. Tacit knowledge can be conveyed in a number of ways including:

- | | |
|---------------------------------|------------------------------------|
| -Expert Storytelling/Interviews | -Formal/Informal Rotation Programs |
| -Position Backup Opportunities | -In-House Workshops |
| -Coaching | -Peer Mentoring/Apprenticeship |
| -Job Shadowing | -Education Committees |
| -Cross Training | -On-the-job Training |
| -Lessons Learned | -Boot Camp |
| -Best Practices Meetings | -Communities of Practice |
| -Critical Incident Reviews | -Knowledge Fairs |

Additional information regarding these options is provided in SMP's Knowledge Transfer Strategies Report.

Recruiting

As previously expressed to CDCR's leadership in the Succession Management Program Survey Executive Summary dated July 2016, a review of recruitment and retention differentials to address competitive salary issues and staff recruiting difficulties will be an additional tool for CDCR to consider. While some classifications already have longevity pay opportunities in effect, additional review in this area may become necessary in the near future as leadership positions are vacated.

Additional information regarding differential pay and longevity pay for certain classes is maintained by the California Department of Human Resources (CalHR). The Exempt Salary Schedule provides salary information on elected state officers whose salaries are established by the California Citizens Compensation Commission, on "statutory" exempt state officers in the Executive Branch whose salaries are fixed by law, and on "non-statutory" exempt positions whose salaries are recommended by the appointing power and approved by CalHR under the authority of Government Code §19825.

Many of the salaries are subject to change as the duties, responsibilities, and organizational relationships of many of the positions listed may change. Personnel Offices are notified via the Exempt Pay Letter whenever the salaries of exempt positions assigned to their department are changed and approved by CalHR.

Leadership Development Plan

To actively prepare for the identified gaps, the Succession Management Program Unit (SMPU) will identify personnel in pipeline positions. These potential applicants will be invited to participate in the SMP Pilot to fast track development and address critical needs. The program will focus on the following:

1. Creating a Leadership Development Plan (LDP).
2. Estimating costs of proposed solutions. To establish the cost of implementing the solution, identify the tools, people, information, and funds for the project. Request the resources through appropriate processes.

3. Developing performance measures to evaluate the success of solutions.
4. Initiating a communication plan to share impacts with affected stakeholders.
5. Conducting a retrospective of how things progressed and document lessons learned as they occur.
6. Seeking feedback from the implementation team and the stakeholders to monitor progress throughout the implementation process.

CDCR has established a general skills framework to promote balanced development, and ensure that at every stage of a career, an employee is building a blend of new technical, core, and leadership skills.

On a periodic basis, typically annually, CDCR should do an internal assessment to determine the “bench strength” for critical leadership positions. SMPU will complete a baseline assessment and establish a procedure for future updates.

In order to assess future leadership bench strength, SMPU will need to obtain input from managers/leadership staff, within the identified divisions, about the readiness of candidates with whom they are familiar, to potentially assume specific critical leadership positions. An option for obtaining such data is to:

- Circulate a list of the positions identified as “critical” to the incumbents of those positions and ask them to provide the names of agency employees whom they believe may be “currently ready” to assume each of the positions on the list.
- Ask these incumbents to identify employees who will be ready within the next year or two. Ask incumbents what competencies or job-related experiences are necessary for these employees to become fully ready to assume the higher-level job.
- SMPU will review the list to evaluate the recommendations, consolidate names where more than one manager has identified the same employee for a specific position, or where a specific employee has been identified for a number of different positions, and then contact the employee regarding voluntary participation in the Succession program.
- SMPU will also accept self-nomination candidates based on minimum eligibility requirements.

Conclusion

The goals, strategies and activities recommended in this report represent a “living” document intended to be reviewed by individual and institutional stakeholders to prompt individual and collaborative action. The greatest assets within CDCR are its people, and a continuous investment in the knowledge, skills and competencies of its workforce is vital to fulfilling its mission and vision. In order to address the leadership turnover challenges over the next five years, CDCR must provide professional, organizational and leadership development opportunities to ensure that they can continue to effectively meet the needs of the communities served both now and in the future. The Succession Management Program will be a vital part of this process.